



July 27, 2010

TO: INTERESTED PARTIES

RE: REQUEST FOR PROPOSAL (RFP) FISCAL YEAR 2010
Underserved Victim Advocacy and Outreach Program (UV)

The California Emergency Management Agency (Cal EMA), Public Safety and Victim Services (PSVS) Division, Victim/Witness Section is pleased to announce the release of the Underserved Victim Advocacy and Outreach Program (UV) and is soliciting proposals from qualified applicants.

A total of \$4,625,000 is available for local assistance through federal Victims of Crime Act (VOCA) Assistance. Twenty-seven (27) applicants from Victim/Witness Assistance Programs and ten (10) non-profit/Tribal organizations will be selected for funding at a maximum level of \$125,000 each.

Proposals will be rated and ranked competitively. Applicants should read the Request for Proposal (RFP) carefully to ensure proposals contain the required elements. Please refer to the RFP for the proposal due date and submission options.

Applicants selected will be funded for a five-year period, the first of which will commence October 1, 2010 and end September 30, 2011. An application for continuation of funding must be submitted for the second through fifth years, and is contingent upon satisfactory program performance and subject to availability of funds.

Should you have questions, please contact Diana Mazuka, Program Specialist, via e-mail at Diana.Mazuka@calema.ca.gov or via phone at (916) 327-5668.

Sincerely,

BRENDAN MURPHY
Director of Grants Management

UNDERSERVED VICTIM ADVOCACY AND OUTREACH PROGRAM (UV)

TABLE OF CONTENTS

[Printable Version](#)

I. [OVERVIEW](#)

A.	INTRODUCTION.....	1
B.	CONTACT INFORMATION.....	1
C.	PROPOSAL DUE DATE AND SUBMISSION OPTIONS	1
D.	ELIGIBILITY	2
E.	FUNDS	2
F.	PROGRAM INFORMATION.....	4

II. [RFP INSTRUCTIONS](#)

A.	PREPARING A PROPOSAL	7
B.	PROJECT NARRATIVE	8
1.	Problem Statement.....	8
2.	Plan	8
3.	Capabilities	8
4.	Goals, Objectives, Activities, and Performance Measures	10
C.	PROJECT BUDGET	10
1.	Budget Narrative.....	11
2.	Specific Budget Categories	11
D.	PROPOSAL APPENDIX	13
E.	PREFERENCE POINTS CERTIFICATION	14

III. [POLICIES AND PROCEDURES](#)

A.	SELECTION OF PROPOSAL FOR FUNDING	15
1.	Proposal Rating	15
2.	Funding Recommendation	15
3.	Notification Process.....	15
B.	FINALIZING THE GRANT AWARD AGREEMENT	15
1.	Standard Project Funding Authority.....	15
2.	Processing Grant Awards.....	16
C.	ADMINISTRATIVE REQUIREMENTS	16
1.	The <i>Recipient Handbook</i>	16
2.	Internet Access.....	17
3.	Progress Reports and Data Collection	17
4.	Monthly/Quarterly Report of Expenditures/Request for Funds	17
5.	Technical Assistance/Site Visits	17
6.	Monitoring Requirements	17
7.	Audit Requirements	17
8.	Source Documentation	18
9.	Bonding Requirements	18
10.	Copyrights, Rights in Data, and Patents.....	18
D.	BUDGET POLICY	18
1.	Supplanting Prohibited	18
2.	Project Income.....	19
3.	Methods of Contracting and/or Procurement.....	19
4.	Match Requirements	19
5.	Travel Policies	20
6.	Participating Staff	21

7.	Independent Contractor/Consultant Services.....	22
8.	Facility Rental.....	23
9.	Rented or Leased Equipment.....	23
10.	Indirect Costs/Administrative Overhead	23
11.	Audits.....	23
12.	Equipment	23
13.	Prohibited Expense Items.....	24

IV. APPENDIX

APPLICATION FORMS (including web links)	27
RATING FORM	28
SUMMARY OF THE PAST PERFORMANCE POLICY	31
GLOSSARY OF TERMS.....	33

UNDERSERVED VICTIM ADVOCACY AND OUTREACH PROGRAM (UV)

PART I – OVERVIEW

- A. INTRODUCTION
 - B. CONTACT INFORMATION
 - C. PROPOSAL DUE DATE AND SUBMISSION OPTIONS
 - D. ELIGIBILITY
 - E. FUNDS
 - F. PROGRAM INFORMATION
-

A. INTRODUCTION

This Request for Proposal (RFP) provides the information and forms necessary to prepare a proposal for California Emergency Management Agency (Cal EMA) grant funds. The terms and conditions described in this RFP supersede previous RFPs and conflicting provisions stated in the *Recipient Handbook*. The *Recipient Handbook* provides helpful information for developing the application and is accessible on our website at www.CalEMA.ca.gov. Look on the right side of the Cal EMA homepage under “Quick links” for the *Criminal Justice Programs Recipient Handbook* or scroll over the “Grant Programs” tab, select “Grant Applications & Proposals (RFAs/RFPs),” and then look under the “Related Links” section for *Recipient Handbooks*.

B. CONTACT INFORMATION

Questions concerning this RFP, the proposal process, or programmatic issues should be submitted by telephone, fax, or e-mail to:

Diana Mazuka, Criminal Justice Specialist
Victim/Witness Section
Tel: (916) 327-5668
Fax: (916) 324-8554
Diana.Mazuka@calema.ca.gov

Cal EMA staff cannot assist the applicant with the actual preparation of its proposal. During the period of time between the publication date of the RFP and the date the competitive proposal is due, Cal EMA can only respond to technical questions about the RFP.

C. PROPOSAL DUE DATE AND SUBMISSION OPTIONS

One original and three copies of the proposal must be delivered to Cal EMA Public Safety and Victim Services (PSVS) Division by the date and time indicated below. **A late proposal will be deemed ineligible for funding.** Submission options are:

Regular or overnight mail, postmarked by **August 30, 2010 OR** Hand delivered by **5:00 p.m. August 30, 2010** to:

California Emergency Management Agency
Public Safety and Victim Services Division – Victim/Witness Section
3650 Schriever Avenue
Mather, CA 95655
Attn: Underserved Victim Advocacy and Outreach Program (UV)

D. ELIGIBILITY

To apply for funding under the Underserved Victim Advocacy and Outreach Program (UV), applicants must be:

1. A Cal EMA-funded Victim/Witness Assistance Program as defined in Penal Code § 13835.5.

OR

2. A non-profit and/or Tribal organization with a minimum of two years of operational experience.

Eligible nonprofit organizations are defined as private nonprofit organizations, including faith-based and community-based organizations that can demonstrate: (1) knowledge and understanding of; (2) experience in the provision of victim services and advocacy; and (3) staff resources and capability to carry out all activities required by the funded project.

The Applicant Appendix must include a copy of the most recently filed version of one of the following forms: IRS Form 990; State of California Franchise Tax Board Form 199; or State of California Board of Charitable Trusts Form CT2.

E. FUNDS

1. Source of Funds

The Underserved Victim and Advocacy and Outreach Program is supported by Victims of Crime Act (VOCA) Assistance and is authorized by the Victims of Crime Act of 1984, as amended, 42 U.S.C. 10601, *et seq.* VOCA authorizes federal financial assistance to states whereby 40 percent of the state award be designated to each Priority Areas of crime victims; sexual assault, domestic violence, child abuse, and previously underserved. Underserved victims are designated by type of crime and are determined by the state grantee. The VOCA funds support the purpose of compensating and assisting victims of crime, providing funds for training and technical assistance and assisting victims of federal crimes. The following guidelines apply to VOCA funds:

- Funds may be used for organizational memberships in no more than three national or state criminal justice or victims' organizations per year.
- Funds are restricted to the provision of direct services for crime victims.
- Funds may be used for administrative costs supporting direct client services, e.g. data collection.
- Funds may NOT be used for indirect costs, which must be computed using the rate specified in the *Recipient Handbook*, Section 2220, and must be paid with other fund sources.
- Funds may NOT support services and activities to incarcerated individuals even when the service pertains to the victimization of that individual.
- Funds may be used for costs related to conducting community and school presentations when the primary purpose of the presentation is to identify crime victims and provide, or refer, victims to needed services (e.g., salaries, materials, brochures and newspaper notices).
- Applicants must use volunteers.
- Applicants must not charge crime victims for services provided under the Underserved Victim Advocacy and Outreach Program (UV).
- Applicants must promote coordinated public/private efforts to aid crime victims (participate on state/federal/local task forces, commissions, working groups, coalitions, etc.), and develop written agreements contributing to better services for crime victims. These types of activities benefit crime victims and must be undertaken by victim service organizations in order to be eligible to receive VOCA funds. Therefore, these types of activities may not be supported with VOCA funds, which are restricted in their use to the provision of direct victim services.

- Original publications (written, visual or sound) produced in whole or in part with VOCA funds must contain the following statement:

*Funding is made possible through the United States Department of Justice,
Victims of Crime Act. 2010-VA-GX-0087*

- Applicants must comply with the National Historic Preservation Act (16 U.S.C., Section 470, et seq., as amended), which states prior to use of grant funds to renovate, alter, or otherwise improve the exterior or interior of a building, applicants must notify Cal EMA for approval. Applicants must also maintain records establishing all proposed renovation work.
- Applicants must complete the Certification Regarding Environmental Tobacco Smoke Public Law 103-227, Part C – Environmental Tobacco Smoke, also known as the Pro Children Act of 1994 (Act). This Act requires that smoking not be permitted in any portion of any indoor routinely owned or leased or contracted for by an entity and used routinely or regularly for provision of health, day care, education, or library services to children under the age of 18, if the services are funded by Federal programs either directly or through State or local governments, by Federal grant, contract, loan, or loan guarantee. The law does not apply to children's services provided in private residences, facilities funded solely by Medicare or Medicaid funds, and portions of facilities used for inpatient drug and alcohol treatment. Failure to comply with the provisions of the law may result in the imposition of a civil monetary penalty of up to \$1,000 per day and or the imposition of an administrative compliance order on the responsible entity.

By signing and submitting this application the applicant/grantee certifies that it will comply with the requirements of the Act. The applicant/grantee further agrees that it will require the language in this certification be included in any sub-awards which contain provisions for the victim/witness assistance services and that all sub-grantees shall certify accordingly.

Match Requirement (VOCA Funds)

All projects under this RFP receive VOCA funds. Projects *must* clearly identify staff positions, including match, paid from all funding sources in the budget pages. VOCA funds and the required match are restricted to direct services to crime victims. In addition, services to witnesses other than the crime victim are prohibited with VOCA funds, and their required match.

The federal program guidelines specify a cash/in-kind match of 20 percent for VOCA. When used to augment the project, expenditures for items such as personnel, operating expenses or equipment are considered a match if not in violation of prohibition on supplanting (see Supplanting Prohibited). Details regarding match categories and instruction for calculating match are stated below and are included in the budget section of the application forms package.

Federal VOCA requirements DO NOT allow federal funds to be used for administrative costs, lobbying or community prevention/education programs except for the identification and provision/referral of services for crime victims.

2. Grant Period

Applicants selected will be funded for a five-year period, the first of which will commence October 1, 2010 and end September 30, 2011. An application for continuation funding must be submitted for the second through fifth years, and is contingent upon satisfactory program performance and subject to availability of funds.

3. Funding Amount

Approximately \$4,625,000 is available in VOCA funds for this program for FY 2010/11 and the allocation for each program is \$125,000 with a required match of 20% based on the Total Project Cost.

Victim/Witness Assistance Programs	27	\$3,375,000
Community Based/Tribal Organizations	10	\$1,250,000
Total Funded Programs	37	\$4,625,000

F. PROGRAM INFORMATION

1. Program Purpose

This Request for Proposal provides support for communities to improve their ability to identify the needs of unserved/underserved crime victims in California. The intent on the Underserved Victim Advocacy and Outreach Program (UV) is to focus on service delivery to victims of violent crime within unserved/underserved and socially isolated populations including, but not limited to, those historically underserved due to race, socio-economic status, disability, or sexual orientation. Examples of targeted populations may include urban, high crime communities; communities of immigrants with limited English proficiency; American Indians; persons with disabilities and/or deaf or hard-of-hearing; or members of Lesbian, Gay, Bisexual, Transgender, and Queer (LGBTQ) populations.

Unserved/underserved victims may be further defined as those individuals that are victimized as a result of existing service barriers (e.g., geographic, language, cultural, demographic, etc.), in addition to crimes such as homicide, elder abuse, driving while intoxicated (DWI), hate crime, and gang violence.

The primary goal of the Underserved Victim Advocacy and Outreach Program (UV) is to enhance the safety of unserved/underserved victim populations in California by establishing victim advocacy positions solely dedicated to the unserved/underserved population, coordinate direct services in an enhanced response to victimization of specific crime populations among locally involved agencies and implement an outreach awareness program to the specific population determined as unserved/underserved as follows:

- Provide outreach to targeted community on the provision/referral of services;
- Provide direct assistance to unserved/underserved innocent victims of violent crime;
- Assist victims of crime as soon as possible after the crime;
- Reduce the severity of the psychological consequences of the victimization;
- Improve the victim's willingness to cooperate with the criminal justice process; and
- Restore the victim's faith in the criminal justice system.

2. Background Information

The UV Program will provide funds to Victim/Witness Assistance Centers as determined in Penal Code Section 13835.5 and to nonprofit, community based and/or Tribal organizations that provide direct services and outreach to unserved/underserved victims of violent crime.

To address the needs of underserved victims, the UV Program will provide comprehensive services that incorporate all necessary victim support services to these vulnerable populations. If this grant will be used to supplement existing victim services, applicants must develop a creative initiative that provides specialized services to one group of unserved/underserved victims, e.g., elder abuse victims or DWI victims. Examples of specialized services include, but are not limited to, advocacy, counseling, legal assistance, multidisciplinary team-building among agencies, and development of victim support groups

for one particular type of victim. Crime rate statistics and/or estimates specific to this group, with supportive documentation, should be addressed.

The Outreach component/objective of this solicitation is to support the planning and development of public awareness campaigns designed to raise the awareness of victimization of unserved/underserved populations.

G. SERVICE STANDARDS

The following is a listing of services and activities allowable under the UV Project with VOCA Victim Assistance grant funds:

Services that may be provided include, but are not limited to the following: (1) Services that immediately respond to the emotional and physical needs (excluding medical care) of crime victims such as intervention; accompaniment to hospitals for medical examinations; hotline counseling; emergency food, clothing, transportation, and shelter; emergency legal assistance; and other emergency services that are intended to restore the victim's sense of dignity and self-esteem. (2) Mental health assistance such as counseling, group treatment, support groups, and therapy. (3) Advocacy on behalf of crime victims, including accompaniment to criminal justice offices and court, transportation to court, child care to enable a victim to attend court, restitution advocacy, and assistance with victim impact statements. (4) Services that offer an immediate measure of safety to crime victims such as boarding up broken windows and replacing or repairing locks. (5) Forensic medical examinations for sexual assault victims, to the extent that other funding sources are not available. (6) Costs that are necessary and essential to providing direct services such as prorated costs for rent, telephone service, and transportation costs for victims and local travel expenses for direct service providers. (7) Costs directly related to providing direct services through staff, including salaries and fringe benefits. (8) Training for law enforcement personnel in the delivery of services to victims of federal crime. (9) Promoting coordinated efforts within the community to aid crime victims. (10) Assistance to victims seeking crime victim compensation benefits. (11) Preparation, publication, and distribution of informational material that explains services offered to victims of crime.

VOCA funds are intended to fund only activities associated with providing direct services to crime victims; services to witnesses other than the crime victims, are prohibited.

The following are services and activities allowable under the Underserved Victim Advocacy and Outreach Program (UV):

The following services, activities, and costs are not generally considered direct crime victim services, but are often a necessary and essential activity to ensure that quality direct services are provided. These costs may be considered for coverage under the program, provided that direct services to crime victims cannot be offered without support for these expenses, the grantee has no other source of support for them, and only limited amounts of federal program funds will be used for the following purposes: skills training for staff; equipment and furniture; contracts for professional services; operating costs such as supplies, printing, postage, brochures that describe available services, books, and other victim-related materials; supervision of direct service providers such as volunteer coordinators; repair or replacement of essential items; presentations made in schools, community centers, or other public forums designed to identify crime victims and provide or refer them to needed services; and vehicle leasing.

H. ADA COMPLIANCE

Applicants must be in compliance with the Americans with Disabilities Act (ADA) of 1990, 42 U.S.C. 12101, et seq., and Title 28 of the Code of Federal Regulations, part 35. The applicant shall operate so that each service is accessible to and usable by individuals with disabilities. Applicants may comply with

the requirements of this section through such means as redesign of equipment, reassignment of services to accessible buildings, assignment of aides to beneficiaries, home visits, delivery of services at alternative accessible sites, alteration of existing facilities and construction of new facilities, use of accessible rolling stock or other conveyances, or any other methods that result in making its services, programs, or activities readily accessible to and usable by individuals with disabilities.

Applicants must ensure that communication with individuals with disabilities is as effective as communication with others without disabilities. This includes the use of telecommunications systems for communications by telephone. Applicants must also ensure that individuals with impaired vision or hearing can obtain information as to the existence and location of accessible services, activities, and facilities, as well as provide appropriate signage. This includes all written materials (e.g., brochures, applications, consents, videos, etc.)

Applicants must ensure that all aspects of employment comply with ADA, including the application process (recruitment, hiring) and employment tasks.

An ADA compliance statement must be submitted with this application.

UNDERSERVED VICTIM ADVOCACY AND OUTREACH PROGRAM (UV)

PART II – RFP INSTRUCTIONS

- A. PREPARING A PROPOSAL
 - B. PROJECT NARRATIVE
 - C. PROJECT BUDGET
 - D. PROPOSAL APPENDIX
 - E. PREFERENCE POINTS CERTIFICATION
-

A. PREPARING A PROPOSAL

The instructions in this section correspond to each of the proposal components and to the forms required to complete the proposal.

The applicant must use the forms provided in Part IV of this RFP or on our website at www.CalEMA.ca.gov. The forms must be printed on plain white 8½" x 11" paper for the proposal. The Project and Budget Narrative templates provided on the website are formatted to Cal EMA standards. If you create your own Project and/or Budget Narrative forms, the format must duplicate the Cal EMA templates and not allow for more space than provided by Cal EMA. If a space limitation is specified for a component, strict adherence to the space limitation is required.

NOTE: Failure to comply with the spacing/formatting requirements is one of the factors that may negatively impact the applicant's comprehensive assessment score.

- Proposal Cover Sheet (included in Part IV)
- Grant Award Face Sheet (Cal EMA 2-101)
- Project Contact Information (Cal EMA 2-102)
- Signature Authorization and Instructions (Cal EMA 2-103)
- Certification of Assurance of Compliance – VOCA (Cal EMA 2-104f)
- Preference Points Certification Form (Cal EMA 2-155) Project Narrative (Cal EMA 2-108)
- Project Budget (Including the Budget Narrative (Cal EMA 2-107) and the Budget Forms (Cal EMA 2-106 a-c))
- Proposal Appendix (refer to Part II, D)

NOTE: The applicant must ensure that all information requested by the RFP is included in the appropriate section of the proposal in order to receive credit. Failure to include the required components may result in a reduced score or disqualification. Cal EMA will *not* advise the applicant if the proposal is incorrect and/or incomplete prior to rating or disqualification.

Copies of the proposal must be assembled separately and individually fastened in the upper left corner. ***Do not bind the proposal.***

B. PROJECT NARRATIVE

The project narrative is the main body of information describing the problem to be addressed, the plan to address the identified problem through appropriate and achievable objectives and activities, and the ability of the applicant to implement the proposed plan.

Problem Statement (maximum two pages)

The Problem Statement should include a brief description of the service area and a detailed description of the problem of the unserved/underserved population.

- Provide a historical perspective addressing the service needs of the unserved/underserved victim population.
- Describe the problem of the unserved/underserved victim population and define the underserved victim population being addressed in your jurisdiction/service area.
- Use statistical data to describe the incidence of victimization of this specific crime population in your area.
- Describe the reasons why this victim population is unserved/underserved and the factors that have contributed to this problem.
- Describe the demographic/cultural/social characteristics of the unserved/underserved victim population.
- Describe current status of service provision to the unserved/underserved victim population.

Plan (maximum six pages)

This section identifies the goals of the program and how the project will address the problem and the objectives to accomplish the goals. For each objective, provide a timeline and describe the activities and processes that will be implemented for Fiscal Year FY 2010/2011. All activities must be realistic, measurable, and quantifiable.

Applicants must describe the roles and responsibilities of program staff, and explain the program's organizational structure and operations. Applicants must demonstrate the ability to provide a comprehensive model of service delivery that will coordinate the various existing resources and address the gaps in critical services within their geographic area.

- Describe the applicant's service plan to address the services mandated by this grant.
- Address and implement practical program guidelines to streamline services and implement best practices.
- Describe the applicant's service plan for the development and implementation of an outreach component of the program.
- Describe the cultural competency of anticipated staff assigned to the project. (A requirement of this grant will be that within six months of award the advocate assigned to this grant will be required to complete a cultural competency training specific to the population being served, and have taken the Entry-Level and Advanced Advocate Trainings.
- Provide written protocols for service provision to the target population.

Capabilities (maximum six pages)

Provide a narrative that describes the interaction between all project staff and participating agencies in relation to the overall project. For all applicants, describe the project's overall organizational framework, listing all funded, non-funded, and donated positions assigned to the project.

- Describe the project's plan to address outreach of partnering agencies and service providers in order to build the connections, partnerships and collateral contacts with existing service structure. Emphasis on partnerships and collaboration with Law Enforcement, Victim /Witness (VW) and community based organizations (CBO's) serving unserved/underserved victims of violent crime.
- Describe the project's plan to formalize services and outreach to this unserved/underserved population.
- Describe innovative/specific approaches for serving this unserved/underserved victim population.
- Outline the applicant's service model/plan and establish a service implementation timeline for direct services and outreach efforts.
- Prepare a response/referral protocol which includes an outreach/education component to victims.
- Establish a timeline for provision of services which incorporates a plan for sustainability of the UV Program.

Organizational Chart

The Proposal Appendix must contain a **current** organizational chart. It must show the relationships between the governing body, the organization, the project, the project staff, and the project volunteers. Position titles and percentage of funding for each position listed on the organizational chart must match with those positions listed, and percentage of funding for each position, on the actual budget pages for this program.

Operational Agreement

Operational Agreements (OAs) demonstrate a formal system of networking and coordination between other agencies/organizations and the applicant. OAs must: (1) describe plans for coordination of services; (2) identify who provides which services; and (3) specify what those services are.

Submit the Operational Agreement Summary Form and include it in the Proposal Appendix. List those agencies, organizations, and individuals in the applicant's service area with whom the project has Operational Agreements (OAs) for FY 2010/2011 and the length of those agreements. If the originally submitted OA is not effective for the duration of this grant period (grant ends September 30, 2015), be advised that additional OAs will be required as needed.

A sample OA can be accessed by clicking on the following link: [Operational Agreement](#). Cal EMA will accept photocopied signatures on the Operational Agreements, but the **Original** OA with original signatures must be on file at the project and be available for review upon a Site or Monitoring visit representing the following disciplines (depending upon your status as an applicant*):

- Local Law Enforcement Agencies;
- Victim/Witness Assistance Programs*;
- Non-governmental organizations (NGOs) dedicated to serving victims of violent crime; and
- Local nonprofit organizations serving victims and their families*.

Favorable consideration will be given to applications that provide letters of support that document a partnership between victim service organizations with substantive knowledge and cultural competency of the issues facing unserved/underserved victim populations.

Goals, Objectives, Activities and Performance Measures (maximum four pages)

Goals – Utilizing the issues that were identified and prioritized in the Problem Statement, specify the goals of the project.

A goal is the largest overall effect that your program has on your community. Goals may be multiple in nature and may differ from one county to another. Each goal should be presented with all of its accompanying objectives, key activities, and performance measures.

What is (are) the goal(s) of the project? Overall goal(s) may be broad in scope and long in duration. There may be underlining goals as steps to achieve the overall goal(s).

Objectives – Objectives focus on the methods that will be used to address the problem.

They should be clearly stated, realistic and measurable. They should reflect the project description and support the achievement of the project's goal(s).

- Describe in detail the objectives that will be implemented to achieve the goals. Each objective must also be linked to one or more corresponding performance measures.

Activities – Are the key operational elements of the program.

Activities occur in support of the achievement of objectives. Activities must be specific, detailed enough to determine effectiveness, and must be reflective of the budget.

- Describe in detail the activities to be performed to accomplish each objective. Activities must be specific and measurable.

Performance Measures – Performance measures must be clearly identified, results oriented and reasonably attainable. Use the following definitions to assist in your response:

Output – The amount of work done; must be quantifiable (numbers projected and numbers achieved). Enter specific numbers, not percentages and not a range of numbers.

Outcome – The results of activities designed to accomplish the project's goal(s) and demonstrate a change.

Outcome Measure – The unit of measurement used to evaluate the success of an outcome; measures the actual impact or public benefit of a project's actions. For outcome measures, the initial year may consist of collecting baseline data.

Based on federal requirements, Cal EMA has moved from output measures alone, to incorporate outcome measures. Determine how the impact of the plan (project) can be assessed. The measurements for each objective may be a combination of outputs and outcomes. Outcome measures can illustrate the effects/impact of the project efforts. If you eliminate the identified problem, what would or would not happen? Once the anticipated effects have been determined, baseline data needs to be established to measure program effectiveness over time. Recipients will be required to submit output/outcome data in progress reports.

C. PROJECT BUDGET

The purpose of the project budget is to demonstrate how the applicant will implement the proposed plan with the funds available through this program. The budget is the basis for management, fiscal

review, and audit. Project costs must be directly related to the objectives and activities of the project. The budget must cover the entire grant period. In the budget, include **only** those items covered by grant funds, including match funds when applicable. Projects may supplement grant funds with funds from other sources. However, since approved line items are subject to audit, applicants should not include in the project budget matching funds (if applicable) in excess of the required match. Budgets are subject to Cal EMA modifications and approval.

Cal EMA requires the applicant to develop a **line item** budget which will enable the project to meet the intent and requirements of the program and ensure the successful and cost effective implementation of the project. The applicant should prepare a realistic and prudent budget avoiding unnecessary or unusual expenditures which detract from the accomplishment of the objectives and activities of the project.

Note: The following information is provided to assist in the preparation of the budget:

- Strict adherence to required and prohibited items is expected.
- Where the applicant does not budget for a required item, the applicant assumes responsibility.
- Failure of the applicant to include required budget items does not eliminate responsibility to comply with those requirements during the implementation of the project.

The applicant should refer to the *Recipient Handbook* for additional information concerning Cal EMA budget policy or to determine if specific proposed expenses are allowable. The *Recipient Handbook* is accessible on our website at www.CalEMA.ca.gov. Look on the right side of the Cal EMA homepage under “Quick links” for the *Criminal Justice Programs Recipient Handbook* or scroll over the “Grant Programs” tab, select “Grant Applications & Proposals (RFAs/RFPs),” and then look under the “Related Links” section for *Recipient Handbooks*. Should you have additional budget questions, contact the person listed in Part I, B.

1. Budget Narrative

The applicant is required to submit a narrative with the project budget. The narrative must be typed and placed in the proposal preceding the budget pages, describing:

- How the project’s proposed budget supports the Program’s objectives and activities;
- How funds are allocated to minimize administrative costs and support direct services;
- The duties of project-funded staff, including qualifications or education level necessary for the job assignment (this does not take the place of the brief justification required in the line item budget);
- How project-funded staff duties and time commitments support the proposed objectives and activities;
- Proposed staff commitment/percentage of time to other efforts, in addition to time allocated to this project;
- The necessity for subcontracts and unusual expenditures; and
- The mid-year salary range adjustments.

2. Specific Budget Categories

In Part IV of this RFP, or on our website, you can access Excel spreadsheets for each of the following three budget categories:

- a. Personal Services – Salaries/Employee Benefits (Cal EMA 2-106a)

1) Salaries

Personal services include services performed by project staff directly employed by the applicant and must be identified by position and percentage of salaries. They may be salaried or hourly, full-time or part-time positions. Sick leave, vacation, holidays, overtime, and shift differentials must also be budgeted as a part of salaries. If the applicant's personnel have accrued sick leave or vacation time prior to the approval of grant funding, they may not take time off using project funds. Salaries for staff not directly employed by the applicant must be shown as participating staff (see *Recipient Handbook*, Section 4500) in the Operating Expenses Category. Consultant services remain under Operating Expenses (refer to Part II, C.2.b. - Operating Expenses - paragraph two.)

2) Benefits

Employee benefits must be identified by type and percentage of salaries. The applicant may use fixed percentages of salaries to calculate benefits. Budgeted benefits cannot exceed those already established by the applicant.

Employer contributions or expenses for social security, employee life and health insurance plans, unemployment insurance, and/or pension plans are allowable budget items. Benefits, such as uniforms or California Bar Association dues are allowable budget items if negotiated as a part of an employee benefit package.

A line item is required for each different position/classification, but not for each individual employee. If several people will be employed full-time or part-time in the same position/classification, provide the number of full-time equivalents (e.g., three half-time clerical personnel should be itemized as 1.5 clerical positions).

b. Operating Expenses (Cal EMA 2-106b)

Operating expenses are defined as necessary expenditures other than personal salaries, benefits and equipment. Such expenses may include specific items directly charged to the project, and in some cases, when permitted by the funding source, an indirect cost allowance. The expenses must be grant-related (e.g., to further the program objectives as defined in the grant award) and be encumbered during the grant period.

The following items fall within this category: consultant services such as subcontractors, participating staff who are not employed by the applicant, travel, office supplies, training materials, research forms, equipment maintenance, software equipment rental/lease, telephone, postage, printing, facility rental, vehicle maintenance, answering service fees and other consumable items. Furniture and office equipment with an acquisition cost of less than \$5000 (including tax, installation, and freight) and/or with a useful life of less than one year fall within this category. Otherwise, these fall under equipment expenses.

Salaries for staff not directly employed by the applicant must be shown as consultant and/or participating staff costs (whichever is applicable per *Recipient Handbook* Sections 3710 and 4500), under the Operating Expenses category. These costs must be supported by an Operational Agreement (OA), which must be kept on file by the recipient and made available for review during a Cal EMA site visit, a monitoring visit, or an audit. In the case of grants being passed through a recipient to be operated by another agency, the staff from the second agency will be shown in the Operating Expenses Category.

Budget for anticipated training related to the project. The applicant must include sufficient per diem and travel allocations for person(s) to attend required Cal EMA training conferences or workshops.

- Mandatory (UV) Project Coordinators Meeting (two-day travel/ lodging/per diem) for both Project Coordinator and Financial Officer responsible for day-to-day programmatic duties of the UV Program.
- Cultural Competency Training specific to target population for advocate assigned to UV Program.
- Victim Compensation and Government Claims (Cal VCP) Application Training.

c. Equipment (Cal EMA 2-106c)

Equipment is defined as nonexpendable tangible personal property having a useful life of more than one year and an acquisition cost of \$5000 or more per unit (including tax, installation, and freight).

A line item is required for different types of equipment, but not for each specific piece of equipment (e.g., three laser jet printers must be one line item, not three).

NOTE: The left column of each budget category on the Spreadsheet requires line item detail including the calculation and justification for the expense. Enter the **whole dollar amount only** (no cents) on each line item and the match amount (if applicable) in the correct column of the Budget Category form. You may add extra rows if necessary. The spreadsheets automatically calculate the subtotal at the end of each budget category and provide the total of the three spreadsheets at the bottom of the Equipment page. The total of the budget including each funding source and/or match amount must correspond to the amount of the Total Project Cost (Block 10G) on the Grant Award Face Sheet.

D. PROPOSAL APPENDIX

The proposal appendix provides Cal EMA with additional information from the applicant to support components of the proposal. The following must be included:

- **Organizational Chart:**
The Organizational Chart should clearly depict the structure of the applicant organization and the specific unit within the organization responsible for the implementation of the project. This chart should also depict supporting units within the organization (e.g., the Accounting Unit) and the lines of authority within the organization. Job titles on the Organizational Chart must match those in the Budget and Budget Narrative.
- [Operational Agreement \(OA\)](#):
OAs must contain original signatures, titles, and agency names for both parties and include dates effective for the proposed grant period. These documents must demonstrate a formal system of networking and coordination with other agencies and the applicant. A sample OA can be accessed by selecting the title above.
- Project Summary (Cal EMA 2-150)
- Noncompetitive Bid Request (Cal EMA 2-156) [if applicable]
- Out of State Travel Request (Cal EMA 2-158) [if applicable]
- Emergency Fund Procedures (Cal EMA 2-153)
- Other Funding Sources (Cal EMA 2-151)

- Prior, Current, and Proposed Cal EMA Funding (Cal EMA 2-152)
- Project Service Area Information (Cal EMA 2-154)
- Computer and Automated Systems Purchase Justification Guidelines (Cal EMA 2-157) [if applicable]

E. PREFERENCE POINTS CERTIFICATION

California Government Code Section 7082 requires Cal EMA to give preference to applicants from areas in the state designated as Enterprise Zones. The goal of the Enterprise Zone Program is to stimulate growth in economically distressed areas. Five percent (5%) of the proposal's total score will be added to the proposal for the applicant specifically targeting a designated Enterprise Zone for services. Two percent (2%) of the applicant's total score will be added to the proposal for the applicant whose service area includes an Enterprise Zone, but does not specifically target the area for services.

Complete information concerning the Enterprise Zone Program is available on the Housing and Community Development, Division of Financial Assistance web page at <http://www.hcd.ca.gov/fa/cdbg/ez/>. If the applicant is eligible for preference points, certification of eligibility by the appropriate agency must be provided. Self-certification is not allowed.

PART III – POLICIES AND PROCEDURES

NOTE: The applicant is strongly encouraged to review the following sections before preparing the proposal.

- A. SELECTION OF PROPOSAL FOR FUNDING
 - B. FINALIZING THE GRANT AWARD AGREEMENT
 - C. ADMINISTRATIVE REQUIREMENTS
 - D. BUDGET POLICY
-

A. SELECTION OF PROPOSAL FOR FUNDING

1. Proposal Rating

Eligible proposals received by the deadline are generally rated by a three member team. The rater scores are averaged and then ranked numerically. The Rating Form used for this process is included in Part IV of this RFP and is for informational purposes only.

2. Funding Recommendation

Final funding decisions are made by the Secretary of Cal EMA. Funding recommendations are based on the following:

- a. The ranked score of the proposal;
- b. Consideration of funding priorities or geographical distribution specific to this RFP; and
- c. Prior negative administrative and programmatic performance, if applicable.

Projects previously funded by Cal EMA will be reviewed for poor past compliance, including fiscal management, progress and annual reports, audit reports, and other relevant documentation or information. This review may result in one or more of the following actions:

- a. The project may not be selected for funding;
- b. The amount of funding may be reduced; or
- c. Grant award conditions may be placed in the Grant Award Agreement.

See Part III, Section E for additional information regarding the Past Performance Policy.

3. Notification Process

Applicants will be notified in writing of the results of the rating process. Applicants not selected for funding will receive a denial letter containing their average score and information on the appeal process.

B. FINALIZING THE GRANT AWARD AGREEMENT

1. Standard Project Funding Authority

Allocation of funds is contingent on the enactment of the State Budget. Cal EMA does not have the authority to disburse funds until the budget is passed and the Grant Award Agreement is fully executed. Expenditures incurred prior to authorization are made at the project's own risk and may be disallowed. Cal EMA employees are not able to authorize an applicant to incur expenses or

financial obligations prior to the execution of a Grant Award Agreement. However, once the Grant Award Agreement is finalized the Grant Recipient may claim reimbursement for expenses incurred on, or subsequent to, the start of the Grant Award period.

If, during the term of the grant award, the state and/or federal funds appropriated for the purposes of the grant award are reduced or eliminated by the California Legislature or the United States Government, or in the event revenues are not collected at the level appropriated, Cal EMA may immediately terminate or reduce the grant award by written notice to the recipient. However, no such termination or reduction shall apply to allowable costs already incurred by the recipient to the extent state or federal funds are available for payment of such costs.

Cal EMA Grant Award Agreements are subject to applicable restrictions, limitations, or conditions enacted by the California Legislature and/or the United States Government, subsequent to execution of the Grant Award Agreement.

2. Processing Grant Awards

a. Grant Award Conditions

Cal EMA may add grant award conditions to the Grant Award Agreement prior to or after funding. If conditions are added, these will be discussed with the applicant and a copy of the conditions will be sent to the grant recipient when the conditions are made part of the Grant Award Agreement. Grant award conditions may include requirements for sole source justification, a computer feasibility study, or other requirements deemed necessary by Cal EMA.

b. Grant Award Agreement

A copy of the executed Grant Award Agreement and pertinent attachments will be sent to the Project Director. The applicant is not authorized to incur costs against the grant until a copy of the fully executed Grant Award Agreement is received. When the executed grant is received a Report of Expenditures and Request for Funds (Cal EMA 2-201) may be submitted for reimbursement.

c. Grant Award Amounts

When the amount of funds available is limited, Cal EMA may reduce the amount of the grant award from the amount requested by the applicant. In addition, Cal EMA reserves the right to negotiate budgetary changes with the applicant prior to executing the Grant Award Agreement. If either of these actions is required, Cal EMA will notify the applicant prior to executing the Grant Award Agreement.

C. ADMINISTRATIVE REQUIREMENTS

The following requirements apply to projects selected for funding and are explained below for the recipient's planning purposes.

1. The *Recipient Handbook (RH)*

The *Recipient Handbook* is accessible on our website at www.CalEMA.ca.gov. Look on the right side of the Cal EMA homepage under 'Quick links' for the *Criminal Justice Programs Recipient Handbook* or scroll over the "Grant Programs" tab, select "Grant Applications & Proposals (RFAs/RFPs)," and then look under the "Related Links" section for "Recipient Handbooks". The

Recipient Handbook contains administrative information and requirements necessary to implement the project. Recipients must administer their grants in accordance with the *Recipient Handbook* requirements. Failure to comply with these requirements can result in the withholding or termination of the grant award.

2. Internet Access (*RH 11500*)

Funded projects are required to maintain Internet access with an established e-mail address. Grant funds may be used for this purpose unless specifically prohibited by the RFP instructions.

3. Progress Reports and Data Collection (*RH 10100*)

Funded projects are required to participate in data collection and to submit progress reports required by the program. Projects are required to keep accurate records to document the information reported in the progress reports. The records must be kept by the project for a period of three years. During site/monitoring visits, Cal EMA will review these records for accuracy and compare them with the reported data submitted on the progress reports.

4. Monthly/Quarterly Report of Expenditures/Request for Funds (*RH 6300*)

Community-based organizations (CBOs) shall submit a monthly Report of Expenditures and Request for Funds (Cal EMA 2-201) unless they request a quarterly reporting period. Government and education agencies receiving funds will be required to report on a quarterly basis. This form is due within 30 calendar days of the end of the reporting period and must be submitted whether or not the project has incurred expenses. Delays in submitting the form Cal EMA 2-201 will result in the withholding of funds and may result in the recommendation to Cal EMA's Executive Secretary for termination of the grant award.

5. Technical Assistance/Site Visits (*RH 10300*)

Funded projects are assigned a Cal EMA program specialist to oversee the progress of the project in achieving its goals, objectives and compliance with the Grant Award Agreement. Program specialists are available to assist the recipient in the successful implementation of the project and in meeting the administrative requirements of the Grant Award Agreement. New projects should expect a site visit from the assigned program specialist within the first six months of the grant period. Follow-up site visits will be conducted periodically throughout the life of the grant. Projects may request a site visit to obtain technical assistance.

6. Monitoring Requirements (*RH 10400*)

A monitoring visit is an onsite assessment by staff to determine if the project is in compliance with the terms of the program, the Grant Award Agreement, the Program Guidelines, the RFA/RFP, and the *Recipient Handbook*. Projects will be monitored on a random or as-needed basis.

7. Audit Requirements (*RH 8100*)

To safeguard Cal EMA assets and to ensure that all funds are accounted for, Cal EMA requires that organizations receiving a Cal EMA grant award(s) be audited in accordance with Recipient Handbook section 8100.

8. Source Documentation (RH 10111)

Recipients will be required to maintain source documentation to support claimed expenditures and project accomplishments. Source documentation is defined as records used to validate project activities and achievements pertaining to the objectives outlined in the Grant Award Agreement. Recipients are to retain source documentation for progress reports on a quarterly basis, regardless of submission requirements. Requirements and definitions for program specific source documentation are delineated in the RFP instructions. Recipients will be required to have written job descriptions on file for positions funded by Cal EMA detailing specific grant-related activities to achieve project objectives.

9. Bonding Requirements (RH 2160)

Private community-based organizations and American Indian organizations are required to obtain and send to Cal EMA a copy of a blanket fidelity bond or equivalent insurance contract applicable to officials and employees of Cal EMA-funded projects within 60 days of the signed Grant Award Agreement. Failure to comply with this requirement may result in the withholding of grant funds or termination of the Grant Award Agreement. The beneficiary named on the bond or an endorsement must include the "State of California, California Emergency Management Agency" and include the Grant Award number for identification purposes.

The time period covered by the bond must include the effective date and total time period of the grant, including extensions. The bond must be in an amount equal to 50 percent (50%) of the total grant award and may have a deductible in an amount not to exceed one percent (1%) of the bond.

A bond is not required of a recipient sponsored by units of government. CBOs sponsored by units of government may submit documentation indicating this in lieu of the bond or insurance contract, unless specifically required terms of the program or grant award conditions.

10. Copyrights, Rights in Data, and Patents (RH 5300-5400)

Cal EMA owns rights of and reserves a royalty-free, nonexclusive, and irrevocable license to reproduce, publish, and use, in whole or in part, material produced by activities supported by a Grant Award Agreement. These ownership rights are detailed in the Recipient Handbook.

D. BUDGET POLICY

This document summarizes information on Cal EMA Budget Policy contained in the *Recipient Handbook*. Additional information may be obtained by accessing the *Recipient Handbook* at www.CalEMA.ca.gov. Look on the right side of the Cal EMA homepage under 'Quick links' for the *Criminal Justice Programs Recipient Handbook* or scroll over the "Grant Programs" tab, select "Grant Applications & Proposals (RFAs/RFPs)," and then look under the "Related Links" section for "Recipient Handbooks."

1. Supplanting Prohibited (RH 1330)

Grant funds must be used to supplement existing funds for program activities and *not replace* funds appropriated for the same purpose. If selected for funding, a written certification must be provided to Cal EMA indicating grant funds will not be used to supplant existing funds. Potential supplanting will be the subject of application review, post-award monitoring, and audit. The rules on supplanting are found in Section 1330 of the *Recipient Handbook*.

2. Project Income (*RH 6610*)

Project income, such as client fees and fees for services provided by the recipient (i.e., training, presentations, etc.), asset forfeitures, profits from the sale of project products, and conference proceeds as the result of a direct trade of time or products for money must be used to offset or augment the grant, unless otherwise specified in the RFP instructions. Project income cannot be used as matching funds, unless otherwise specified in the RFP instructions.

3. Methods of Contracting and/or Procurement (*RH 3400*)

A competitive bid process is required to purchase equipment or consultant services with grant funds. Noncompetitive bid contracts are disfavored. Noncompetitive bid request approval by Cal EMA program staff is required prior to the purchase of equipment in excess of \$5,000, or to hire a specific consultant charging over \$5,000. Local units of government may use their approved procurement policy except for contracts over \$50,000 which require prior Cal EMA approval. For organizations without a written procurement policy, a competitive bid process involves determining the specifications for the items needed and obtaining at least three bids from different vendors. Whenever a specific individual/organization name is identified in the project budget, a narrative describing the competitive bid process or a sole-source procurement (noncompetitive bid) request will be required. Cal EMA will provide assistance in submitting a noncompetitive bid request if the proposal is selected for funding and if Cal EMA determines it is in the best interest of the project. These procedures do not apply to funds shared with participating agencies under the terms of an Operational Agreement (see Section 4500, *Recipient Handbook*).

4. Match Requirements (*RH 6500*)

The RFP Instructions (Part II) may specify a cash or in-kind match. When used to augment the project, expenditures for items such as Personal Services, Operating Expenses or Equipment are considered match if not in violation of the prohibition on supplanting. Match must be specified in the budget and will become part of the Grant Award Agreement. Specific instructions for calculating the match are provided below. There are examples of how to calculate the match requirement in Sections 6550-6550.2 of the *Recipient Handbook*.

a. State Funds Matching State or Federal Funds (*RH 6522*)

State and/or federal funds can be used to match other state and/or federal funds *only* if the following conditions have been met:

- 1) The other funding source does not prohibit this practice;
- 2) The funds are to be used for identical activities (i.e., to augment the project); and
- 3) The project has obtained prior written approval from Cal EMA or the terms of the program allow this practice.

b. Type of Match

1) Cash Match (*RH 6511*)

Cash match, also known as hard match, is often derived from the local funding resources committed to a project such as county general fund revenue, United Way contributions, private donations or profits from fund-raising events. When used to augment the project, cash expenditures for items such as personnel, facilities and supplies may be considered cash match if not in violation of the prohibition on

supplanting. A cash match must be specifically identified by line item as match in the budget.

2) In-Kind Match (*RH 6512*)

In-kind match, also known as soft match, refers to goods and services which are contributed to the project, have a dollar value attached to them, and are also budgeted. In-kind contributions represent the project's non-cash outlay, including the non-cash outlay contributed by other public agencies and institutions, private organizations, and individuals. Examples include the donation of goods and volunteer time. In general, the value of in-kind contributions is determined by fair market value, which must be separately identified in the budget.

5. Travel Policies (*RH 2236*)

The following is Cal EMA's current travel policy:

a. Travel and Per Diem (*RH 2236*)

The applicant may prepare the budget using its own travel policy or the state travel policy according to the following guidelines. Travel reimbursement will only be allowed based on actual costs.

1) Units of Government

Units of government may use their own written travel policy or the state policy.

2) Community-Based Organizations (CBOs)

A community-based organization may use the state travel policy or the applicant's written policy up to the maximum rates allowed by the state travel policy.

b. State Travel and Per Diem Policy (*RH 2236.2*)

Use the following state travel policy for budgeting travel expenses:

1) Out-of-State Travel

Out-of-state travel is restricted and only allowed in exceptional situations. Requests for approval for out-of-state travel must be submitted for Cal EMA approval.

2) Meals and Incidentals

a) Breakfast \$6.00

Breakfast may be claimed when travel commences at or prior to 6:00 a.m. Breakfast may be claimed on the last fractional day of a trip of more than 24 hours if travel terminates at or after 8:00 a.m.

b) Lunch \$10.00

Lunch may not be claimed for travel less than 24 hours. Lunch may be claimed if the trip begins at or before 11:00 a.m. and may be claimed on the last fractional day of a trip of more than 24 hours if the travel terminates at or after 2:00 p.m.

c) Dinner \$18.00

Dinner may be claimed if the trip begins at or before 5:00 p.m. Dinner may be claimed when travel terminates at or after 7:00 p.m., whether on a one-day trip or on the last day of a trip of more than 24 hours.

d) Incidentals \$6.00

Incidentals may be claimed for trips of 24 hours or more.

e) Total Per Diem

The maximum is \$40.00 for a 24-hour period.

3) Lodging

The maximum allowed lodging expense is \$84.00, plus applicable taxes, (except as noted below). Lodging receipts are required for reimbursement.

4) Special Lodging Rates

The maximum allowed lodging rate in Los Angeles and San Diego counties is \$110.00, plus applicable taxes. The maximum for Alameda, San Francisco, San Mateo, and Santa Clara counties is \$140.00, plus applicable taxes.

5) Mileage

When a privately owned vehicle is utilized on project-related business, a maximum of 50 cents per mile is allowed, unless a higher rate is justified. Documentation justifying a higher rate must be on file and available for audit, but should not be submitted with the proposal.

6) Other

Taxi, airport shuttle, etc., which exceed \$3.50 must be supported by receipt. Parking in excess of \$10.00 must be supported by receipt.

6. Participating Staff (*RH 4500*)

The term “participating staff” refers to salaried employees of a participating agency assigned to work with the recipient on the implementation of a project. The agreement between the recipient and the participating agency concerning participating staff must be reflected in the OA. Grant related costs associated with participating staff must be itemized in the Operating Expenses category of the grant budget.

7. Independent Contractor/Consultant Services (*RH 3710*)

Consultant services are provided on a contractual basis by individuals or organizations not directly employed by the applicant. Independent contractors must not be used in lieu of employees. Independent contractors are defined as individuals or organizations meeting some or all of the following criteria:

- Produce a specific product or service;
- Work independently without direct supervision from the applicant;
- Work on specific projects;
- Provide services for a limited number of hours or period of time; and/or
- Have no agency management or oversight responsibilities directed toward the financial success or direction of the agency

a. Rates (3710.1)

The maximum rate for independent contractors is \$250.00 per hour (excluding travel and subsistence costs). Compensation over \$250.00 per hour requires additional justification and **prior approval** from Cal EMA.

1) Independent Contractors Employed by State and Local Government

Compensation for independent contractors will be allowed when the unit of government will not provide its services without cost. In these cases, the rate of compensation is not to exceed the daily salary rate paid by the unit of government.

b. Expert Witness Fees (*RH 3710.2*)

Projects, which routinely utilize “expert witnesses” as independent contractors to conduct evaluations and provide expert testimony in the courtroom, may budget for this expense. However, the project may only be charged for costs above what the jurisdiction is required to cover. The maximum allowable rate for such witness fees is \$250.00 per hour up to \$2,000 per day. The total amount budgeted for expert witness fees must not exceed ten percent (10%) of the project’s total budget. Requests for proposed expert witness costs must be accompanied by written justification indicating the following:

- Qualifications, training, and experience of the expert(s), including a statement regarding recognition by the court of the individual as an expert;
- Specialized certification/licensure [i.e., Masters in Social Work (MSW); Licensed Clinical Social Worker (LCSW), Marriage and Family Therapist (MFT); Medical Doctor (MD)];
- Rate of pay per hour including documentation of a survey of the availability of similar consultants, the current “going rate,” and the proposed rate of pay with a cost breakdown if expert is paid according to services (e.g., mileage, waiting time, court testimony);
- Proposed services to be provided (e.g., analysis of forensic evidence, psychological evaluation); and
- Justification why this cost cannot be paid with other funds (attach the justification to Cal EMA 2-106).

8. Facility Rental (*RH 2232*)

Up to \$21.00 per square foot annually (\$1.75 per square foot per month) is allowed for facility rental. If the rental cost for office space exceeds this rate, it must be consistent with the prevailing rate in the local area. This documentation must be on file and available for audit and should not be submitted with the proposal.

a. Rental Space for Training and Counseling Rooms (*RH 2232.1*)

Rental space for training and individual and/or group counseling rooms may also be charged to the grant, providing the charge is based on actual costs and not reimbursed by another source.

9. Rented or Leased Equipment (*RH 2233*)

An explanation and cost analysis is required when equipment is rented or leased. This analysis must demonstrate that it is more cost-effective to rent or lease the equipment than it is to purchase it, and must be approved by Cal EMA prior to the execution of a rental or lease agreement.

10. Indirect Costs/Administrative Overhead (*RH 2220*)

Indirect costs are those not readily itemized or assignable to a particular project, but necessary to the operation of the organization and the performance of the project. The costs of operating and maintaining facilities, accounting services, and administrative salaries are examples of indirect costs. Flat rates not exceeding ten percent (10%) of personnel salaries (excluding benefits and overtime) or five percent (5%) of total direct project costs (excluding equipment) may be budgeted by applicant for indirect costs if allowable by the funding source.

11. Audits (*RH 8150*)

Recipients expending between \$25,000 and \$499,999 in federal or state funds annually cannot use federal funds to reimburse for costs associated with audits. Recipients expending \$500,000 or more in federal grant funds annually are required to secure an audit pursuant to OMB Circular A-133 and are allowed to utilize federal grant funds to budget for the audit costs.

Specifically, the allowable audit costs are as follows:

- a. If the total project cost is less than or equal to \$150,000, the project may budget up to \$2,000 for the financial audit cost; or
- b. If the total project cost is greater than \$150,000, the project may budget up to one and a half percent (1.5%) of the total project cost for financial audit costs.

12. Equipment (*RH 2300*)

Equipment is defined as nonexpendable tangible personal property having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit (including tax, installation and freight).

A line item is required for different types of equipment, but not for each specific piece of equipment (e.g., three laser jet printers should be one line item, not three).

a. Allowable Expenses

Equipment used solely for project activities may be budgeted if it is essential to the implementation of the project. Grant funds may not be used to reimburse the recipient for equipment already purchased.

Rented or leased equipment must be budgeted as an Operating Expense. Lease-to-purchase agreements are generally not allowable. If a lease-to-purchase is requested, the project will be required to submit justification, including cost-effectiveness, with the Grant Award Forms Package. Prior approval by Cal EMA is required.

b. Computers and Automated Equipment (*RH 2340*)

1) Community-Based Organizations (*RH 2342.1*)

Community-based organizations may budget up to \$25,000 in computer equipment, software, and related costs. Justification will be required if the proposal is selected for funding. Cal EMA will evaluate the proposed purchase on the basis of grant-related need. Prior approval by Cal EMA is required.

2) Units of Government (*RH 2342.2*)

Units of government may budget for computer equipment, software, and related costs. Justification will be required if the proposal is selected for funding. Cal EMA will evaluate the proposed purchase on the basis of grant-related need. Cal EMA must give approval prior to purchase. If federal grant funds totaling in excess of \$100,000 are used for automated data processing purchases, prior federal approval is also required.

3) Computer Purchase Justification (*RH 2341*)

Approval for purchases of computers and automated equipment is contingent on the applicant's ability to demonstrate cost-effective, project-related need which is best demonstrated by clearly relating each computer system or component to the grant objectives and activities. If selected for funding, the applicant will be sent instructions for preparing the justification.

c. Automobiles (*RH 2331*)

Automobiles are not allowable items unless permitted by the terms of the program. If an automobile is included in the budget, substantial justification demonstrating the grant-related need will be required before finalization of the Grant Award Agreement. The justification must describe the need for the automobile, including the size of service area, the need to provide direct service away from the office, and the reason why the agency will not allow personal automobile usage during work hours. A cost analysis for automobile purchase, as compared to other options including lease and personal automobile use and mileage, must be done and kept on file for review by Cal EMA program staff during a site visit, monitoring visit, and/or audit.

13. Prohibited Expense Items (*RH 2240*)

a. Bonuses and Commissions (*RH 2241*)

Projects are prohibited from paying any bonus or commission to any individual, organization or firm unless specifically authorized by the terms of the program

b. Lobbying (*RH 2242*)

Refer to *RH 2242.1* for an extensive list of prohibited activities.

c. Fundraising (*RH 2243*)

Cal EMA grant funds cannot be used for organized fundraising including financial campaigns, endowment drives, solicitation of gifts and bequests, or similar expenses incurred solely to raise capital or obtain contributions.

d. Real Property and Improvements (*RH 2244*)

Real property, including land, land improvements, structures and their attachments, and structural improvements and alterations are not allowable expenditures unless specifically authorized in the RFP instructions.

e. Interest (*RH 2245*)

The cost of interest payments is only allowable if the cost is a result of a lease/purchase agreement.

f. Charges, Fees, and Penalties (*RH 2245*)

Finance charges, late payment fees, penalties, and returned check charges are not allowable expenditures.

g. Food and Beverages (*RH 2246*)

The cost of food and/or beverages at grant-sponsored conferences, meetings or office functions is not an allowable expenditure.

h. Weapons and Ammunition (*RH 2247*)

The cost of weapons and/or ammunition of any type is not an allowable expenditure, unless it is part of a governmental negotiated benefit package or is specifically authorized in the RFP instructions.

i. Membership Dues (*RH 2248*)

The cost of membership dues for the licensing or credentialing of professional personnel is not an allowable expenditure unless it is part of a governmental negotiated benefit package or is specifically authorized in the RFP instructions.

j. Professional License (*RH 2248*)

The cost of a professional license is not an allowable expenditure unless specifically authorized in the RFP instructions.

k. Annual Professional Dues or Fees (*RH 2248*)

The cost of professional dues or fees is not an allowable expenditure unless it is part of a governmental negotiated benefit package or is specifically authorized by the RFP instructions.

I. Depreciation (*RH 2249*)

Equipment costs may not include additional costs calculated for depreciation.

UNDERSERVED VICTIM ADVOCACY AND OUTREACH PROGRAM (UV)

RFP FORMS

Click on one of the links below to access the corresponding form. Save the form to your hard drive before filling it out. To access the complete list of forms go to www.CalEMA.ca.gov, scroll over the “Grant Programs” tab, select “Grant Applications & Proposals (RFAs/RFPs),” then look under the “Related Links” section for “Forms.” Or, paste the following link into your browser:

[http://www.oes.ca.gov/WebPage/oeswebsite.nsf/OESBranchContentPortal?ReadForm&type=Forms&look=Grant%20Applications%20and%20Proposals%20\(RFAs/RFPs\)&Div=Law+Enforcement+and+Victim+Services+\(LEVS\)&Branch=Grant%20Applications%20and%20Proposals%20\(RFAs/RFPs\)Forms](http://www.oes.ca.gov/WebPage/oeswebsite.nsf/OESBranchContentPortal?ReadForm&type=Forms&look=Grant%20Applications%20and%20Proposals%20(RFAs/RFPs)&Div=Law+Enforcement+and+Victim+Services+(LEVS)&Branch=Grant%20Applications%20and%20Proposals%20(RFAs/RFPs)Forms)

[Checklist](#)

[Coversheet](#)

[Grant Award Face Sheet and Instructions \(Cal EMA 2-101\)](#)

[Project Contact Instructions and Information \(Cal EMA 2-102\)](#)

[Signature Authorization and Instructions \(Cal EMA 2-103\)](#)

[Certification of Assurance of Compliance – VOCA \(Cal EMA 2-104f\)](#)

[Application Budget – Budget Narrative \(Cal EMA 2-107\)](#)

[Project Narrative \(Cal EMA 2-108\)](#)

[Budget Forms \(Excel spreadsheet format\) – 2-106c. With % Match](#)

[Project Summary \(Cal EMA 2-150\)](#)

[Sample Operational Agreement \(Cal EMA 2-161\)](#)

[Noncompetitive Bid Request Checklist \(Cal EMA 2-156\)](#)

[Out-Of-State Travel Request \(Cal EMA 2-158\)](#)

[Emergency Fund Procedures \(Cal EMA 2-153\)](#)

[Other Funding Sources \(Cal EMA 2-151\)](#)

[Prior, Current, and Proposed Cal EMA Funding \(Cal EMA 2-152\)](#)

[Project Service Area Information \(Cal EMA 2-154\)](#)

[Computer and Automated Systems Purchase Justification \(Cal EMA 2-157\)](#)

[Preference Points Certification \(Cal EMA 2-155\)](#)

UNDERSERVED VICTIM ADVOCACY AND OUTREACH PROGRAM (UV)

RATING FORM

Control #: _____

Rater #: _____

Applicant: _____

Funds Requested: _____

Preference Points: ☐ 2% ☐ 5% ☐ None

CATEGORY

	TOTAL POINTS POSSIBLE
1. PROBLEM STATEMENT	100
2. PLAN AND IMPLEMENTATION	200
3. BUDGET	50
4. COMPREHENSIVE ASSESSMENT	100
TOTAL	450

Each of the above categories contain questions assigned a point value. The point scale is divided into five columns labeled **I, II, III, IV, and V**. The applicant's response to each question is evaluated on the following criteria:

- I. ABSENT:** The response does not address the specific question or a response was not provided.
- II. UNSATISFACTORY:** The response does not completely address the question. The information presented does not provide a good understanding of applicant's intent, does not give the detailed information requested by the RFP, and/or does not adequately support the proposal or the intent of the program.
- III. SATISFACTORY:** The response addresses the question and provides a good understanding of the applicant's intent. The response adequately supports the proposal and the intent of the program.
- IV. ABOVE AVERAGE:** The response is above average and provides a clear and detailed understanding of the applicant's intent. The response presents a persuasive argument that supports the proposal and the intent of the program.
- V. EXCELLENT:** The response is outstanding, with clear, detailed and relevant information. The response presents a compelling argument that supports the proposal and the intent of the program.

1. PROBLEM STATEMENT (Maximum 100 points)					
	I	II	III	IV	V
a. How well does the applicant describe the problem and define the unserved/underserved victim population in the jurisdiction/service area?	0	5	10	15	20

b. How well does the applicant use statistical data to support the incidence of victimization of this specific crime population?	0	5	10	15	20
c. How well does the applicant describe the reasons why this specific population is defined as unserved/underserved and provide factors which have contributed to this problem?	0	5	10	15	20
d. How well has the applicant described the demographic/cultural/social characteristics of the unserved/underserved victim population?	0	5	10	15	20
e. How well does the proposal describe the anticipated impact of the Underserved Advocacy and Outreach Program in the project's jurisdiction?	0	5	10	15	20
2. PLAN AND IMPLEMENTATION (Maximum 200 points)					
a. How well does the applicant describe the service plan to address the problem and the objectives to accomplish the goals?	0	12	24	36	50
b. How well does the proposal describe activities to support the achievement of the objectives?	0	12	24	36	50
c. How well does the applicant address collaborating with partnering agencies i.e.: CBO's, V/W Agencies, etc. in establishing a service plan for the unserved/underserved victim population?	0	12	24	36	50
d. How well does the applicant describe innovative approaches to serving the unserved/underserved victim population and does it include an outreach component?	0	12	24	36	50
3. BUDGET, including Budget Narrative (50 Maximum points)					
a. How well does the budget narrative support the proposal objectives and activities, and the intent and requirements of the program?	0	3	5	7	10
b. How well are the funds allocated in the Budget Category Forms?	0	3	5	7	10

c. How well do the line items support the proposal plan, objectives, and activities of the program?	0	3	5	7	10
d. How well does the budget minimize administrative costs and support direct services?	0	3	5	7	10
e. How well does the budget avoid unnecessary or unusual expenditures which would detract from the accomplishment of the goals and objectives?	0	3	5	7	10
4. COMPREHENSIVE ASSESSMENT (Maximum 100 points)					
a. How well does this proposal support the overall intent, goals, and purpose of the project?	0	25	50	75	100

UNDERSERVED VICTIM ADVOCACY AND OUTREACH PROGRAM (UV)

SUMMARY OF THE PAST PERFORMANCE POLICY

The following is a summary of Cal EMA's Past Performance Policy. A complete copy may be obtained by sending a written request to the Director of Grants Management at:

California Emergency Management Agency
Public Safety and Victim Services Programs Division
3650 Schriever Avenue
Mather, CA 95655
Attn: Underserved Victim Advocacy and Outreach Program (UV)
Fax: (916) 324-8554

1. General Policy

This policy is intended to penalize existing recipients having serious performance problems and will be utilized only in connection with the RFP process on the awarding of grants for new funding cycles. It was developed in consultation with Cal EMA's advisory groups.

2. Penalty Levels

Level A: Complete disqualification from RFP process.

Level B: 10% point reduction of total possible points from an applicant's score.

3. Standard for Invoking a Penalty

The standard for invoking either penalty is dependent upon the recipient's compliance with grant terms and conditions (excluding minor incident(s) of noncompliance).

a. Serious Performance Problems Eligible For Consideration

Performance problems which would qualify under this policy include, but are not limited to:

- 1) Significant failure to account for use of funds, mishandling/misuse of funds, fraud or embezzlement, or other material accounting irregularities or violation(s), as documented in an audit report, monitoring report, police report, or other similar objective documentation;
- 2) Violation(s) of material statutory requirements related to the grant;
- 3) A willful or grossly negligent violation of a Cal EMA policy, or Terms of the Program, but **only after** the recipient had been provided:
 - a) Technical assistance by Cal EMA, including a site visit if necessary, to remedy the violation;
 - b) At least one written notice (per violation); and
 - c) A reasonable opportunity to remedy the violation.

Written notice of serious performance problems will be provided to the recipient's executive officer. Failure to remedy the violation may negatively impact the recipient's eligibility for future funding.

It is not necessary for a criminal conviction to have occurred for Cal EMA to consider actions appearing to constitute fraud, embezzlement, mishandling of funds or other types of statutory violations. Cal EMA must only have reliable evidence this conduct occurred. Moreover, only properly documented performance problems will be considered.

b. Factors Considered

In determining an appropriate penalty, factors to be considered include, but are not limited to:

- 1) The seriousness of the problem;
- 2) Whether the problem identified was intentional;
- 3) Whether the problem revealed dishonest behavior by the applicant;
- 4) Whether the interests of the State or the public were harmed by the problem;
- 5) Whether the problem or problems were a one-time occurrence or represent an ongoing pattern of behavior;
- 6) Whether the problem was documented objectively; and
- 7) Whether Cal EMA attempted to assist the recipient in remedying the problem.

c. Specific Examples

Performance problems are considered on a case-by-case basis and take the totality of the circumstances into consideration. The following examples are not intended to be binding or restrictive of Cal EMA's authority to determine the appropriate penalty in a particular case:

- 1) Cal EMA conducts a visit of a project and makes the following findings:
 - a) The shelter failed to pay overtime on two occasions;
 - b) Three timesheets did not contain a supervisor's approval; and
 - c) The project's doors opened at 9:30 a.m. instead of 9:00 a.m. as stated on its RFP proposal.

A corrective action plan is developed and the recipient takes steps to address the findings. Communication with the recipient four months later shows the findings have been corrected.

Penalty: None

- 2) One year ago, an audit discovered that a project employee embezzled \$300 of Cal EMA funds. The audit concludes this occurred in part due to inadequate management controls and supervision by the project. The employee was fired and the case submitted to the district attorney's office for prosecution. The recipient has implemented new accounting and management policies and procedures, and promises to better supervise its employees. No other problems with the recipient are known.

Penalty: Level B

- 3) A project has agreed to provide victim advocacy services in County X. The recipient spends \$40,000 on non grant related expenses and does not provide the services. This is documented in the site visit report. The project's Progress Reports to Cal EMA report that the services are being provided. Cal EMA refers the matter to the district attorney for prosecution, but no additional steps have yet to be taken.

Penalty: Level A

4. Notification to the Applicant and Appeal of Decision

A letter will be sent by certified mail to the applicants that are denied funding due to past performance problem(s). The applicant shall be provided with a summary of why the performance problem penalty was invoked. The applicant is entitled to appeal the denial of funding on the same basis as other appeals of denial of funding, pursuant to the Appeals Guidelines.

UNDERSERVED VICTIM ADVOCACY AND OUTREACH PROGRAM (UV)**GLOSSARY OF TERMS**

TERM	DEFINITION
Activity	The specific steps or actions that a project takes to achieve a measurable objective.
Administrative Agency or Recipient	The agency or organization designated on the Grant Award Face Sheet (Cal EMA 2-101) is the programmatic Recipient of the grant funds and will accomplish the planned objectives and program goals. The Recipient was formerly referred to as the "Grantee".
Application	Once selected for funding, the original proposal plus any additional forms as required by Cal EMA becomes the application. This application, once signed by Cal EMA and the local government agency or organization authorized to accept grant funding, becomes the Grant Award/Grant Award Agreement (Cal EMA 2-101).
CFR	Code of Federal Regulations
Community-based Organization (CBO)	A nonprofit, public benefit corporation.
Competitive Bid	A contract process used when all suppliers are equally or nearly equally qualified to provide the services.
Equal Employment Opportunity Plan (EEOP)	A comprehensive plan that analyzes the agency's workforce and all agency employment practices to determine their impact on the basis of ethnicity and gender. The objective of the EEOP is to ensure nondiscrimination in all areas of employment (recruitment, hiring, promotions, etc), and in the delivery of services and benefits.
Equal Employment Opportunity (EEO) Checklists	An EEO Checklist is a document used by program staff while conducting site/monitoring visits. The checklists (A and B) were prepared to assist Cal EMA in verifying that recipients are in compliance with State and Federal Civil Rights Laws.
Grant Award Agreement	The signed final agreement between Cal EMA and the local government agency or organization authorized to accept grant funding. (See Application.)
Grant Funding Cycle	The number of years a program may be funded without competition. A funding cycle is typically three years.
Grant Funding Period	The period of time, determined by the Request for Proposal (RFP) or the Request for Application (RFA), which the project narrative, objectives, activities, and budget cover. The time period is usually one year, and is shown on the Grant Award Face Sheet (Cal EMA 2-101) (formerly OES A301).
Implementing Agency	The agency or organization designated on the Grant Award Face Sheet that is responsible for the day-to-day operation of the project (e.g., probation department, district attorney, sheriff).

Monitoring Report Response Form	Form sent to the Recipient with the Monitoring report. The form is completed by the Recipient and returned to the Cal EMA Local Assistance Monitoring Branch (LAMB), indicating the Monitoring Report is accurate or inaccurate as of the date of the Monitoring.
Noncompetitive Bid (NB)	A contract for goods or services, where only a single source that can provide the services or goods is afforded the opportunity to offer a price for the specified services or goods. (Contracts sometimes include goods as well as services, and this definition will also apply to those circumstances.)
Nonprofit Organization (aka Community-Based Organization)	<p>A nonprofit, public benefit corporation as defined in the federal regulation of 28 C.F.R. Part 38, Department of Justice. This modifies the need to be recognized by the Internal Revenue Service as a 501(c) (3) for recipients of faith-based organizations. All organizations may qualify for nonprofit status using any one of the four following methods:</p> <p>(1) Proof that the Internal Revenue Service recognizes the applicant has the status of a 501(c) (3).</p> <p>(2) A statement from a State taxing body or the State Secretary of State certifying that (i) the Organization is a nonprofit organization operating within the State; and (ii) No part of its net earnings may lawfully benefit any private shareholder or individual:</p> <p>(3) A certified copy of the applicant's certificate of incorporation or similar document that clearly establishes the nonprofit status of the applicant; or</p> <p>(4) Any item described in (1) through (3) if that item applies to a State or national parent organization, together with a statement by the State or parent organization that the applicant is a local nonprofit affiliate.</p>
Objectives	A set of quantifiable projections to be carried out in order to accomplish the program goals.
On Site	Refers to the location of operation of the grant award recipient. If multiple sites exist, the site that provides the project recipients with program direction qualifies as the "on site location."
Operational Agreement (OA)	A formal agreement between two or more agencies, which specifies the responsibilities of each agency in implementing the project. The term Operational Agreement also includes documents entitled Memorandum of Understanding, Letters of Intent, or other titles that serve the same purpose.
Participating Agency	An organization that receives grant funds through an Operational Agreement to participate in achieving the goals of a project. The participating agency must be a unit of government or a community-based organization.
Participating Staff	A salaried employee of a Participating Agency.
Program	A specific set of goals and objectives established pursuant to legislative, congressional, or administrative action identifying an unmet need of the criminal justice system or victim services and supported by a set appropriation from state or federal funding sources.

Project	The implementation of a Program by a Recipient. The project includes all of the grants implemented by the Recipient under that Program regardless of the year of implementation.
Proposal	The packet of forms and narrative as requested by the RFP and submitted to Cal EMA that specified the priorities, strategies, and objectives of the applicant.
Recipient Handbook	This handbook outlines the terms and conditions required of grant projects. Funded projects must administer their grants in accordance with these administrative and fiscal conditions. The <i>Recipient Handbook</i> is accessible at www.CalEMA.ca.gov . Look on the right side of the Cal EMA homepage under 'Quick links' for the Criminal Justice Programs Recipient Handbook or scroll over the "Grant Programs" tab, select "Grant Applications & Proposals (RFAs/RFPs)," and then look under the "Related Links" section for " <i>Recipient Handbooks</i> ". The <i>Recipient Handbook</i> was previously called the " <i>Grantee Handbook</i> ".
Request for Application (RFA)	The RFA is a noncompetitive process issued by Cal EMA to obtain applications from applicants previously selected for funding.
Request for Proposal (RFP)	The Request for Proposal is issued by Cal EMA to solicit competitive proposals in order to select projects for funding.
Single Source	This term has been replaced by the term "noncompetitive bid".
Sole Source	This term has been replaced by the term "noncompetitive bid".
Source Documentation	Records that validate project activities and achievements as they pertain to the objectives outlined in the Grant Award Agreement.
Supplanting	To reduce federal, state, or local funds because of the existence of Cal EMA funds. Supplanting occurs when a Recipient deliberately replaces its non-Cal EMA funds with Cal EMA funds, thereby reducing the total amount available for the stated purpose.
Terms of the Program	The applicable Program Guidelines, application requests [Request for Proposal (RFP)/Request for Application (RFA)], grant award agreement, Cal EMA policy statements, and applicable statutes. In the event the terms of the program are inconsistent with the provisions of this handbook, the terms of the program shall be interpreted and construed as superseding the provisions of this handbook.
USC	United States Code